


<p style="text-align: center;"><u>ADMINISTRATIVE REGULATION</u></p>  <p style="text-align: center;">COLORADO DEPARTMENT OF CORRECTIONS</p>	<p style="text-align: center;">REGULATION NUMBER</p> <p style="text-align: center;">1450-02</p>	<p style="text-align: center;">PAGE NUMBER</p> <p style="text-align: center;">1 OF 15</p>
	<p>CHAPTER: Staff Personnel</p>	
	<p>SUBJECT: Performance Management/Employee Evaluation Program</p>	
<p>RELATED STANDARDS: ACA Standards 2-CO-1C-21 and 3-4062</p> <p>OPR: OHR</p>	<p>EFFECTIVE DATE: April 1, 2001</p>	
	<p>SUPERSESSION: 04/01/2000</p>	
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I. POLICY

It is the policy of the Department of Corrections (DOC) performance management system to have written performance plans and evaluations completed for all permanent-classified employee(s) at least annually. Performance evaluations shall be based on core competencies as defined by the State Personnel Director and performance areas and shall be reviewed and discussed with the employee. [\[2-CO-1C-21\]](#) [\[3-4062\]](#) The performance evaluation results will be utilized in determining employee performance awards as part of performance pay.

II. PURPOSE

The purpose of this Administrative Regulation is to establish guidelines for supervisory staff to communicate expectations and standards for satisfactory performance to employees under their supervision and to create mutual understanding of employers= expectations and employee=s performance. Level of performance is the basis for providing employee performance awards.

III. DEFINITIONS

- A. Supervisor: A staff member assigned to a position over one or more employees who has authority to do performance planning, reviewing, evaluating; has direct input into hiring and terminating staff; has input into corrective/disciplinary actions, and who may recommend actions that affect an employee=s pay.
- B. Base Building: An amount of pay that is added to an employee=s base pay.

- C. Base Pay: A fixed rate of pay. Base pay excludes non-base building awards, shift differential, on-call, overtime, call back and other types of premium pay. It is synonymous with salary.
- D. Certified Employee: An employee who has satisfactorily completed a probationary period or trial service period.
- E. Core Competencies: As defined by the director of State Personnel: A competency is a measurable pattern of skills, knowledge, abilities, behaviors and other characteristics that an individual needs to perform work roles or occupational functions successfully.
- Customer: Groups or individuals who impact the DOC or are impacted by the DOC including citizens, taxpayers, crime victims, visitors, media staff, DOC employees, volunteers, inmates, parolees, government entities and government employees, contractors, product and services providers.
- G. Dispute Resolution: The process used to resolve issues raised by an employee regarding the Performance Management Program. Disputable issues include: (1) the employee=s performance plan (2) the employee=s performance rating (3) the application of the agency=s Performance Management Program to the individuals plan and/or evaluation (4) and the full payment of an award. This process shall be open and impartial and must allow all parties an opportunity to have issues heard.
- H. Functional Supervisor: Often referred to as a work leader, or charge person; one who provides oversight or leadwork over the work performance of assigned employee(s). In the absence of a supervisor, the functional supervisor may or may not be assigned to the same location as the administrative supervisor, but is required to provide input to the supervisor regarding employee performance.
- I. Individual Performance Objectives (IPO=s): Specific objectives used to clarify or specify expected level of performance. IPO=s must be reasonable, achievable, measurable and related to a core competency in an employee=s performance plan.
- J. Interim Evaluation: An evaluation done on probationary and trial service employees on March 31 in order to include such employees in the performance award process. Such evaluations do not interrupt the probationary or trial service status which still must be completed with a final evaluation.
- K. Non-Base Building Pay: An amount of pay that is not added to an employee=s base pay, must be re-earned each year, and may be awarded to employees for outstanding performance.
- L. Non-Monetary Award: A non-cash award that may be given based on performance as a stand alone or in conjunction with a monetary award.
- M. Performance Based Pay: Any amount of pay that may be awarded to recognize an employee=s level of performance. Awards may be base and/or non-base building.
- N. Performance Evaluation Program (PEP): PEP is an employee work performance appraisal process. As part of performance management, it may lead to performance awards. The Performance Evaluation Program (PEP) has a cycle which includes three components: performance planning, performance review and performance evaluation. Performance planning is a process that is completed at the beginning of the rating period that outlines work performance areas to be evaluated against job goals and expectations. Performance review is an interim rating of work performance, in regard to expectations established during performance planning, completed during the rating period, but before the final evaluation. Performance evaluation is the formal assessment of an employee's work performance completed at the end of a specified rating period in relation to the established performance plan. The performance evaluation is the management tool that may be used for

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performance pay.

- O. Performance Management: Links agency goals with an employee=s work plan, provides coaching and feedback to employees as needed and formally evaluates performance. Performance Management is an ongoing process that incorporates several key elements: identification of how an employee=s duties, goals and objectives relate to the unit, agency and/or departmental mission; performance planning, coaching, mentoring, feedback, performance review(s), performance evaluation.
- P. Performance Measures: Measurable objectives or standards that define job expectations for an employee.
- Q. Probationary Employee: A non-certified employee who has been appointed to a permanent position from outside the state personnel system from an open-competitive or reinstatement list, and who must complete a probationary period not to exceed twelve (12) months before achieving certification with a performance rating of at least Asatisfactory.@
- R. Rater: The administrative supervisor responsible for completing performance planning, review and evaluation of assigned employees.
- S. Rating levels:
 - Level 1 Performance Rating: **Needs Improvement**-The lowest performance rating denoting unsatisfactory performance. AFailed to meet expectations.@
 - Level 2 Performance Rating: **Satisfactory**-A performance rating defined as Ameets expectations, standards, requirements, and objectives.@
 - Level 3 Performance Rating: **Commendable**-A performance rating defined as Aexceeds expectations, standards, requirements, and objectives.@
 - Level 4 Performance Rating: **Outstanding**-The top performance rating defined as Aconsistently exceeds expectations, standards, requirements, and objectives.@
- T. Reviewer: Usually, the next level supervisor in the chain-of-command over the rater of an employee. Any person in the organization=s chain of command designated to review supervisory evaluations.
- U. Salary Range: The spread of base salaries between minimum and maximum rates for a specific class. A salary range is established based on the annual Total Compensation Salary Survey. The width of salary ranges may vary by occupational groups.
- V. Temporary State Employee: People appointed without examination to a nonpermanent position for six (6) months or less, in a 12-month period, who has temporary status and only has the right to coverage by worker=s compensation.
- W. Total Compensation Salary Survey: Also known as the Salary Survey. An annual process required by law to establish prevailing wages and benefits for employees in the state personnel system. Third-party survey publications are collected and matched with state classes in order to compare the pay and benefit rates between the labor market and the state.

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- X. Trial Service Employee: An employee who is promoted, laterally transferred (to include classification transfers) at his/her own initiative or promoted through position reallocation to a permanent position and who must complete a period of service that does not exceed six (6) months before achieving certification with a performance rating of at least Asatisfactory.®

IV. PROCEDURES

A. Performance Management: General Provisions.

1. Performance Management provides a framework for an employee to assist in establishing goals and expectations in order for the employee to understand what is expected regarding their employment with DOC. It provides a supervisor with tools to use in the evaluation process. It encourages the supervisor to communicate, coach, mentor, guide and teach. Performance Management encourages communication between supervisor and employee.
2. Supervisors shall develop a plan for each employee within 30 days of the beginning of a rating period. If a supervisor does not develop a plan for an employee, then the next level supervisor shall develop a plan for that employee. If neither develops a plan for the employee, the next level supervisor shall develop the plan.
3. In addition to coaching, mentoring and encouraging employee feedback, supervisors must conduct a formal performance review during the rating period for all employees. Performance reviews may be done at any time it is considered necessary as part of Performance Management.
4. Employees will receive PEP evaluations as specified in this regulation. Supervisors shall rate each of their employees. If a supervisor does not rate an employee within 30 days of the end of a rating period, the reviewer shall rate that employee within 30 days of the end of the rating period. If neither the supervisor nor the reviewer rates the employee, the next level supervisor shall perform the evaluation.
5. Raters who fail to complete performance plans and/or evaluations as scheduled shall be subject to disciplinary action per this regulation and be subject to the penalties provided for in C.R.S. 24-50-118 and are not eligible for any performance award.
6. In the case of a downward movement, the base pay shall be set anywhere in the salary range that does not exceed the current base pay up to the maximum of the salary range of the new grade.
 - Quotas or forced distribution processes for determining the number of ratings in any of the four performance levels shall not be established.

B. Performance Management: Planning, Review and Evaluation Process.

1. Use of Performance Plan and Evaluation Forms (DC Form 1450-2A and 1450-2B) is mandatory for permanent classified employees and shall be

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considered as a factor in compensation, promotion, demotion, discipline, reduction of force, and all other actions in which quality of service considerations are properly a factor. Elements of the plan may be changed during the plan period, if necessary, by explanation utilizing the Performance Review Form, DC Form 1450-2C.

- A planning meeting shall be conducted by the supervisor with the employee in order to arrive at an understanding by both parties as to the performance goals and expectations for the employee prior to completing the performance plan.
3. The annual performance planning and evaluation cycle for the DOC is April 1 through March 31, except in cases of new hires, trial service promotion or transfer, change of supervision or significant change in duties. Appointing Authorities or their designees will ensure that performance planning, review and evaluation are conducted within designated time frames by the designated raters.
 4. A performance plan shall be based on the competencies listed in Section II of DC Form 1450-2B with a minimum of three (3) IPO=s (performance measures written at the Satisfactory level) appropriate to the employee's classification and job description. IPO=s must be written into Sections III of form 1450-2A and be related to one or more of the competencies. The plan shall be completed within thirty (30) days (but preferably within the first few days) after:
 - a. The end of the DOC=s annual performance cycle.
 - b. The employee's reporting date to the work unit for newly-hired, promoted, or transferred employees. (The start date for the plan for new hires is the date of hire.)
 - c. A significant change in job responsibilities or assigned duties.
 - d. A change in supervision (except as specified in the paragraph 8 below).
 5. Contribution to team efforts/projects may be measured as a component of an individual=s performance plan and awards (base and non-base) proportioned

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accordingly.

- There shall be a common rating competency for all supervisor=s plans and evaluations that addresses how effective the supervisor administers performance management for his/her employees.
7. The supervisor shall ensure that each employee is provided a current copy of the Position Description Questionnaire (PDQ) for the position to which the employee is assigned.
 8. When a change of supervision occurs and there is no change of duties for an assigned employee, the former supervisor has the option of closing out the plan by completing an evaluation or, with agreement of both supervisors, transferring the existing plan to the new supervisor. The new supervisor and the rated employee shall initial and date the existing plan to signify acknowledgment and understanding. A performance review (DC Form 1450-2C) may be completed by the former supervisor and forwarded to the new supervisor, who shall use the review as part of the evaluation process.
 9. The original of the performance plan will be forwarded to the Human Resources Office for file. A copy is provided to the employee.
 10. Designated raters who fail to conduct performance planning or evaluations per this regulation are subject to corrective and/or disciplinary action. Failure to complete performance plans and evaluations as scheduled shall result in written corrective action giving the designated rater thirty (30) days to complete. If a designated rater fails to comply with the provisions of the written corrective action, a Personnel Rule 6-10 meeting shall be held. If the meeting establishes that scheduled plans or evaluations have not been completed, a disciplinary action of a suspension from work without pay for a period of not less than one (1) work week shall be imposed on the designated rater for failure to conduct plans or evaluations in a timely manner.
 11. If it is necessary to change or add IPO=s during the plan period, the rating supervisor should complete DC Form 1450-2C and address only the pertinent competency to which the original IPO was related. Reason (s) for the change should be clearly stated in the review form.
 12. Performance reviews must be accomplished at least once during the performance plan period, or as needed during the rating period for certified

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employees. When reviews are done, a performance review meeting must be held between supervisor and employee and a narrative is completed using the Performance Review Form, DC Form 1450-2C.

13. If no performance evaluation has been completed on an employee; i.e., discharge, death of a supervisor, failure of the supervisor to rate, the reviewer in the chain of command shall complete the evaluation within 30 days of notice that an evaluation is due. If both the rater and reviewer fail to rate, the next level supervisor shall complete a rating and narrative on DC Form 1450-2B. Failure of any party to complete an evaluation when due, makes him/her subject to sanctions described in paragraph IV.B. 10. A rating completed by the reviewer or the next level supervisor shall be reviewed by the Appointing Authority. The default rating of Asatisfactory@ if an employee does not receive a final evaluation.
 14. Aside from the annual performance cycle evaluation or the completion of probationary or trial service, a performance evaluation shall be completed when an employee leaves the supervisor's area of responsibility because of transfer, promotion, termination or at the time of early certification. When the employee remains under the supervisor's area of responsibility but experiences a significant change(s) in duties/responsibilities or a change in duties because of promotion, reallocation, etc., an evaluation and a new plan shall be completed. A performance evaluation may be completed at any time an employee's performance falls below a satisfactory level.
 - a. On **ALL** performance evaluations, the Overall Narrative Justification Section III of Performance Evaluation, DC Form 1450-2B, (which supports the overall evaluation) shall be completed by the designated rater.
- When determining competency ratings, the overall rating shall be determined by referring to Table 1 below.
 - A supervisor may rate an employee=s overall performance by assessing all facets of the employee=s performance. For example, an employee may be rated at the commendable level in three (3) competencies and satisfactory level in two (2) competencies. The overall rating will normally be determined by the majority of competency ratings. However, when considering performance of IPO=s and weighting relative importance of competencies, the overall rating could be at either the overall satisfactory or commendable rating.

Table 1			
Needs Improvement	Satisfactory	Commendable	Outstanding
3 or more Needs Improvement	No more than 2 Needs Improvement	Commendable competency ratings; a	3 or more Outstanding

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competency ratings.	competency ratings and a minimum of 3 Satisfactory or above competency ratings.	minimum of 2 Satisfactory competency ratings and no Needs Improvement competency ratings.	competency ratings and no Needs Improvement factor ratings. (4 or more Outstanding for supervisors)
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- A pre-appraisal meeting shall be conducted by the supervisor with the rated employee prior to completion of the final rating.
 - e. Performance evaluations shall be completed and signed by the supervisor and forwarded to the reviewer **BEFORE** presentation to subject employee.
 - f. The reviewer shall approve and sign the performance evaluation and return it to the supervisor (Outstanding evaluations are to be signed by the Appointing Authority). If the reviewer does not agree with the evaluation he/she shall consult with the rater to discuss concerns and identify possible modifications. If differences cannot be resolved between the reviewer and rater, the evaluation shall be discussed with the Appointing Authority who will determine the proper evaluation by circling the appropriate rating and affixing his/her initials in Section II, DC Form 1450-2B. Narrative comments must be included in the evaluation to support the final rating.
 - g. If an employee is unable to sign due to resignation, termination, etc., the supervisor shall complete the evaluation and indicate in the employee's signature area that the employee was unavailable for a signature, date the evaluation, and make distribution. A copy shall be mailed to the employee by certified mail, return receipt requested.

15. When one or more competencies in a review or evaluation is/are rated

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ANeeds Improvement, @ a written Performance Improvement Plan (DC Form 1450-2E) may be attached. The Appointing Authority shall review the rating(s) for further action. The original of all documentation shall be forwarded to the Human Resources Office.

16. If the overall rating is ANeeds Improvement, @ a Performance Improvement Plan (DC Form 1450-2E) or a Corrective Action (DC Form 1450-2F) shall be administered.
17. Outstanding evaluations shall be reviewed and approved by the Appointing Authority prior to being reviewed and signed by the employee. Copies of A Outstanding @ evaluations shall be forwarded to the appropriate Director for information.
18. Employees who wish to attach a statement to their evaluation must do so within 10 days of receipt of the evaluation. Employees are responsible for forwarding the statement to the supervisor and to the official personnel record.
19. The original performance review and evaluation forms will be forwarded to the Human Resources Office and maintained in the employee=s permanent personnel record. The supervisor should retain a copy and shall provide the employee a copy.
20. If functional supervision is provided by someone other than the administrative supervisor (PEP rater), the administrative supervisor shall request input from the functional supervisor using the Performance Review Form, DC Form 1450-2C. The administrative supervisor will consider this information when completing the review and/or evaluation phases of the PEP process. DC Form 1450-2C shall be attached to the review or evaluation form and forwarded to the Human Resources Operations Unit.
21. The Performance Documentation Form, DC Form 1450-2D may be used to document **any** performance, positive or negative, at any time by anyone that observes the performance.
22. A Performance Improvement Plan, DC Form 1450-2E may be utilized by the rater to identify areas needing improvement and to bring such shortcomings to the attention of the rated employee.
23. Probationary Employees
 - a. Designated raters shall establish a performance plan within thirty (30) days of the employee's assignment to the work unit, although it is preferable the plan is done within the first few days of assignment. A planning session between supervisor and employee must be conducted as part of the planning phase.
 - b. Performance reviews using DC Form 1450-2C shall be accomplished at the end of the third, sixth, and ninth months of employment, and as necessary to provide additional performance guidance.

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1. If the employee is not reviewed at a "Satisfactory" or higher level, the supervisor shall advise the employee of such in writing and inform him/her of what action is required to bring performance to an acceptable level prior to the next designated performance review or evaluation date. (Use of DC Form 1450-2D or 1450-2E may be appropriate to support the narrative on DC Form 1450-2C.)
2. Probationary employees do not have a right to be given a period of time to improve unsatisfactory performance. However, it is the policy of the DOC to afford a due process to probationary employees by scheduling a meeting under Provisions of Personnel Rule 6-10.
- c. If, at the end of a designated performance review or evaluation period, the employee is still not rated at a "Satisfactory" or higher level, a request not to certify the employee shall be initiated by the rating supervisor and forwarded to the Appointing Authority for decision (failure to withhold certification will result in automatic certification).
- d. Refer to AR 1450-12 to determine appropriateness of administering Corrective and Disciplinary Actions because of unsatisfactory work performance.
- e. For performance award purposes only, an interim performance evaluation may be completed within 30 days after March 31. This interim evaluation does not close the performance plan that is in effect nor does it supersede the Probationary Service certification process rules.

24. Trial Service Employees

- a. Designated raters shall establish a performance plan within thirty (30) days of the employee's date of promotion or transfer, although it is preferable the plan is done within the first few days of assignment. A planning session between supervisor and employee must be conducted as part of the plan phase.
- b. A performance review shall be accomplished at the end of the third month of promotion or transfer using DC form 1450-2C.
- c. If the employee is not rated at a "Satisfactory" or higher level, the supervisor shall proceed as described in Section IV.B.23.c. of this Administrative Regulation.
- d. For performance award purposes only, an interim performance evaluation shall be completed within 30 days of March 31. This interim evaluation does not close the performance plan that is in effect nor does it supersede the Trial Service certification process rules.

25. Certified Employees

- a. Designated raters shall establish a performance plan within thirty (30) days of the employee's last performance evaluation date, although it is preferable the plan is

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done within the first few days of last evaluation. A planning session between the supervisor and employee must be conducted as part of the planning phase.

- b. At least one performance review must be completed during the annual rating period. Use DC Form 1450-2C with a written narrative. Performance reviews may be completed as often as necessary during the rating period.
 1. If the employee receives a rating of "Needs Improvement" on a Performance Review or a Performance Evaluation for either an individual competency or an overall rating, the supervisor shall immediately advise the employee of such in writing and inform him/her of what action is required to bring performance to an acceptable level. The supervisor will also give the employee a specified period of time within which his/her performance shall be corrected. A reasonable and specific period of time (not to exceed 45 calendar days), appropriate to the performance issue(s), should be given to provide the employee opportunity to improve performance. "Needs Improvement" performance reviews impact eligibility for performance based pay and may result in a formal Corrective Action. (Use of DC Form 1450-2D or 1450-2E may also be appropriate.)
 2. If, upon later review, the employee has not corrected his/her performance to a rating level of satisfactory or above, all relevant original documentation will be forwarded to the Appointing Authority for possible corrective/ disciplinary action.
- c. If an overall "Needs Improvement" evaluation is given, the Appointing Authority has discretion to administer a Corrective Action or to allow issuance of a "Performance Improvement Plan" by the supervisor. If a written Corrective Action is administered, DC Form 1450-2F may be used. Corrective Actions may only be issued by the Appointing Authority. The original of all documentation shall be forwarded to the Human Resources Office. Employees who receive an overall "NEEDS IMPROVEMENT" evaluations are not eligible for a performance award.
- d. The evaluation as of March 31 will govern a person's eligibility for performance awards.
- e. The performance evaluation with all signatures affixed thereto must be received in

the Human Resources Office no later than 30 days after the end of the performance cycle.

C. Dispute Resolution Process

1. If an employee wishes to raise an issue(s) regarding PEP or the Performance Management Program, a concerted effort shall be made to resolve the issue at the informal level.

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Disputes arising from the Performance Program must be resolved by submitting complaints to the Appointing Authority. The employee has five (5) calendar days to address the issue after he/she becomes aware of the issue. The employee must contact the rater=s supervisor verbally within five (5) calendar days to request a meeting. The supervisor shall schedule a meeting within five (5) calendar days. The employee will attach all documents and a written narrative of all information he/she wishes to be reviewed. No party has an absolute right to legal representation but may have an advisor present. The parties are expected to represent and speak for themselves. The supervisor shall respond in writing within five (5) calendar days after the meeting. If the employee is not satisfied, he/she has five (5) calendar days to formally submit a Dispute Resolution Request to the Appointing Authority using DC Form 1450-2G. Only issues presented in writing shall be considered throughout the Dispute Resolution Process.

- The Appointing Authority may wish to appoint a review committee to impartially determine the facts surrounding the dispute and to make recommendations to the Appointing Authority to assist in resolution of the dispute. The employee may have an advisor before a review committee or at a meeting with the Appointing Authority. The process shall be open and impartial and must allow parties the opportunity to have issues heard.
 - The Appointing Authority, who is the decision-maker, is limited to addressing facts surrounding the current action and shall not substitute judgment for that of the rater and reviewer, but may instruct raters to follow the department program, correct errors, reconsider a performance rating or plan or suggest other appropriate processes such as mediation. The decision-makers also cannot render a decision that would alter the department=s Performance Management Program.
4. The written decision of the Appointing Authority shall be conveyed in writing to the employee within fifteen (15) calendar days of receipt of DC Form 1450-2G from the employee (unless extended by mutual agreement). Written notice must be given to employee at completion of the internal dispute resolution stage regarding employee rights to carry the dispute to the external stage referenced below in paragraph 6 c and d. All documents pertinent to the dispute, including DC Form 1450-2G, must be forwarded to the Human Resources Office. The decision of the Appointing Authority is final unless the issue is appealable to the State Personnel Director in accordance with paragraph IV.C.6 c and d.
 5. If the dispute is directed against the Appointing Authority, the dispute must be elevated to the next level of supervision.
 6. Issues reviewable within the DOC are limited to the following:

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- a. Subject employee=s performance plan or lack of a plan. Lack fo an evaluation shall result in a default rating of satisfactory.
 - b. Subject employee=s performance evaluation or lack of an evaluation.
 - c. Whether the DOC appropriately applied provisions of its Performance Management Program in regard to the individuals plan and/or evaluation.
 - d. Full payment of a promised award not made as agreed.
7. Requests for review outside the DOC by the State Personnel Director can only be made on matters that relate to the application of the agency=s plan or full payment of an award (c. and d. above), or a default rating of satisfactory. The following may not be reviewed:
- a. State or agency plan, process or policies.
 - b. Money allocated to the DOC for Performance Pay.
 - c. Other employees= rating(s) or award(s).
 - d. Distribution of employees= base building and non base building amounts.
8. Retaliation against any person involved in the dispute resolution process is prohibited.

D. Performance Awards: General Provisions

1. Eligible employees must be on the DOC payroll as of June 30 to receive a base building monetary award effective July 1. All awards are subject to available funding and no award will be guaranteed.
1. Certified employees are eligible for monetary performance pay each year. Trial service and probationary employees are eligible if an interim evaluation is conducted as of March 31 during the trial service or probationary period. The awards may be base-building, non-base building, a combination or none, as described under monetary awards, Section E.
1. Temporary, contract, SES employees, physicians and dentists are not eligible for monetary performance pay under this regulation as their performance is recognized in the annual contract process. They are eligible for non-monetary awards at the discretion of the Appointing Authority
 2. An employee who receives a formal Disciplinary Action during the annual evaluation cycle is not eligible for a performance award.
 3. Monetary awards for employees paid at the maximum of the salary range AND who are

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rated as AOutstanding@, are non-base-building only.

4. Determination of an award type and amount shall be made by July 1. Non-base building awards shall be paid in full to eligible employees who transfer to another state agency or terminate after June 30.

1. Non-Monetary Awards - Non-monetary awards are allowed for all Satisfactory and higher rated employees. Non-monetary awards may be given separate from, or in combination with, monetary awards. Non-monetary awards are not calculated in the total award amounts. Administrative Leave not to exceed five (5) days per fiscal year may be considered as a non-monetary award for ASatisfactory or higher@ ratings at the discretion of the Appointing Authority. Other non-monetary awards may be determined appropriate by the Appointing Authority for Satisfactory or higher rated employees. Appointing Authorities must submit a non-monetary awards report by July 1.

1. Award Notification - Award recipients will be informed- in writing of award percentages and non-monetary awards no later than July 1.

E. Performance Awards: Specific Guidelines

1. Monetary Awards

- a. All performance pay, base building and non-base building, will be administered by the Executive Director of the Department of Corrections.
- b. Base building and non-base building awards are based on a percentage of the available award allocations with the intent of awarding Outstanding performers at a higher percentage than the Satisfactory or Commendable rated employees.

2. During the transition year, Pay for Performance Awards shall be individually annualized.

2. Performance awards will be administered within the following overall rating guidelines:

For those below their pay range maximum:

Performance <u>Levels</u>	Performance <u>Awards</u>
Needs Improvement	0
Satisfactory	0 to X%

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Commendable X% to Y%
Outstanding Y% to Z%

The DOC will set the value of X and Y annually. The State Personnel Director sets the value of Z annually.

1. For those at their pay range maximum

<u>Performance Levels</u>	<u>Performance Awards</u>
Needs Improvement	0
Satisfactory	0
Commendable	0
Outstanding	0 to Z%

The value Z is the same for those below and at the pay range maximum.

4. Base building awards will commence on July 1 of each year.
5. Non-base building awards will be given no later than December 31 and must be re-earned each year thereafter. Employees may negotiate non-base building award; for example, to defer award payment because of income tax implications.
6. A financial audit report will be submitted by the Human Resources Office reflecting employee monetary percentages awarded and non-monetary awards for the number of outstanding, commendable and satisfactory rated employees as required by State Personnel Director by specified deadlines.
7. A list indicating classification of outstanding ratings by facility/office assignment will be distributed by the Office of Human Resources throughout the DOC.

V. RESPONSIBILITY

- A. Appointing Authorities are responsible for ensuring that all aspects of the Performance Evaluation Program (PEP), including performance planning, progress review, and performance evaluation, are completed within the time frames prescribed by the Director of Human Resources.
- B. Appointing Authorities are responsible for final decision regarding the Dispute Resolution Process.
- C. Appointing Authorities are responsible to administer, record and submit a report with a cover letter to the Human Resources Department of the non-monetary awards they have presented at the end of each fiscal year.
- D. The Human Resources Director is responsible for:
 1. Ensuring that training (including Performance Management and Performance Pay Program) is

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provided for all supervisory personnel.

2. Ensuring orientation to the provisions of this regulation is provided to all DOC employees.
 3. Reviewing and updating this Administrative Regulation on an annual basis or as necessary.
 4. Establishing Adequate dates for plans, reviews and evaluations.
- E. All supervisory staff is responsible for the completion of all aspects of PEP within the time frames prescribed for their assigned employees. Supervisors have a special responsibility to provide on-going informal feedback, coaching and/or mentoring of assigned employees and encouraging employee feedback regarding work performance. Supervisors have a responsibility to ensure that performance ratings are an accurate reflection of the employee's job performance.
- F. The Director of Training in coordination with the Human Resources Director, is responsible for ensuring that adequate mandatory training is developed and provided to all DOC employees with specialty training developed as needed in regard to PEP or the Performance Management/Employee Evaluation Program.
- G. The DOC designated Performance Management Program Coordinator is responsible for administering the DOC PEP and Performance Management Program.
1. Employees have the responsibility to actively participate in the planning, review and evaluation process. Employees shall provide feedback on specific performance to assist supervisors with evaluations.

VI. AUTHORITY

- A. CRS 24-50-118. Service and performance evaluations - system and use.
- B. Colorado State Personnel Rules.
- C. Senate Bill 00211

- ATTACHMENTS:
- A. DC Form 1450-2A, Performance Plan Form
 - B. DC Form 1450-2B, Performance Evaluation Form
 - C. DC Form 1450-2C, Performance Review Form
 - D. DC Form 1450-2D, Performance Documentation Form
 - E. DC Form 1450-2E, Performance Improvement Plan
 - F. DC Form 1450-2F, Corrective Action
 - G. DC Form 1450-2G, Dispute Resolution Request

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Behavior Examples regarding Core Competencies

I. DC Form 100-1A, Administrative Regulation Implementation/Adjustments

COLORADO DEPARTMENT OF CORRECTIONS
PERFORMANCE PLAN

I. IDENTIFICATION SECTION: RATING PERIOD: _____ T _____ EMPLOYEE STATUS:

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PROB TS CERT

EMPLOYEE=S NAME: _____ SSN: _____
(PLEASE PRINT OR TYPE)

CLASS TITLE: _____ POS. NO: _____

AGENCY/FACILITY: _____ WORK UNIT: _____

DATE PLAN PRESENTED TO EMPLOYEE: _____

EMPLOYEE=S SIGNATURE: _____

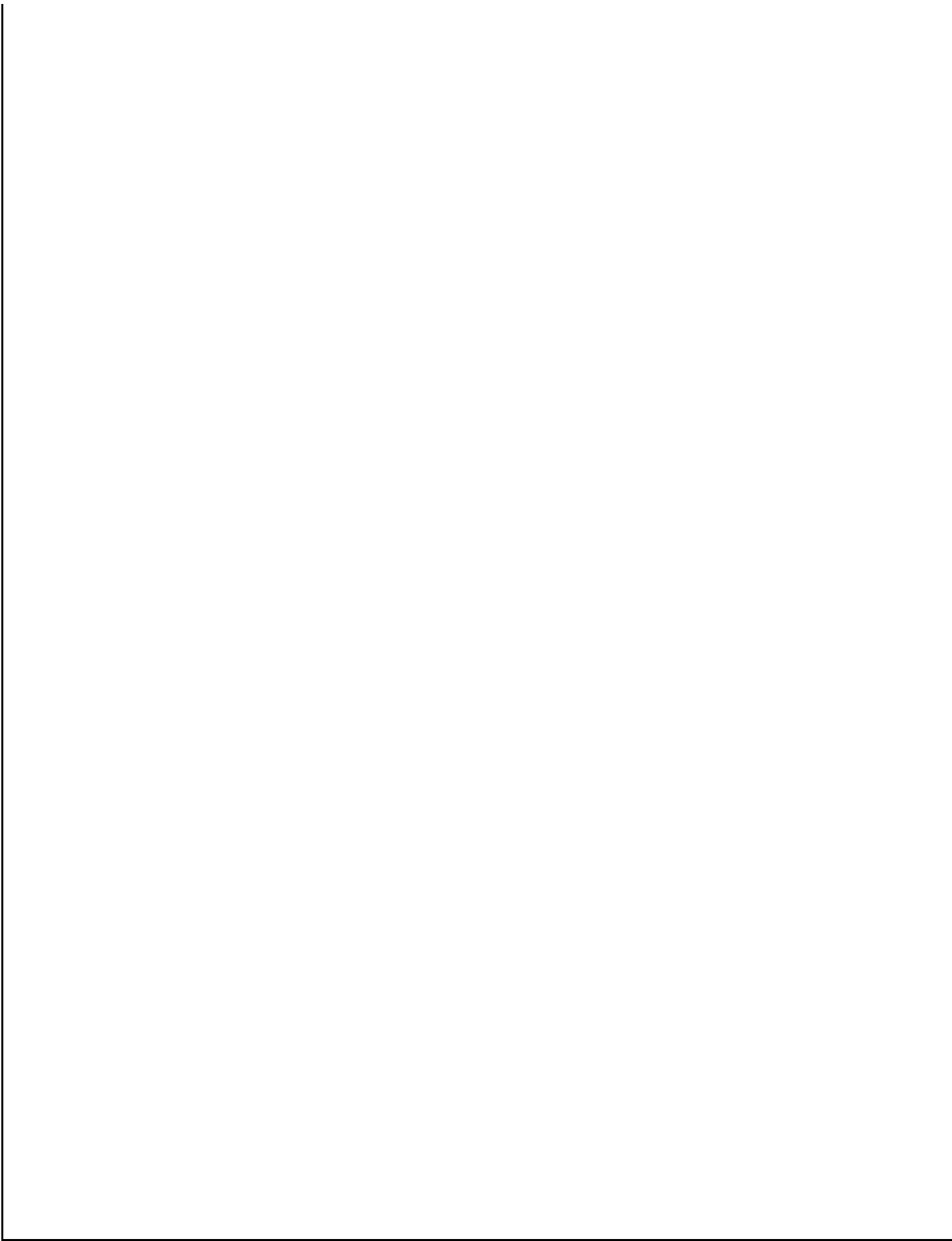
SUPERVISOR=S NAME: _____ POS. NO: _____
(PLEASE PRINT OR TYPE)

SUPERVISOR=S SIGNATURE: _____

II. CAPSULE JOB DESCRIPTION: (From Item II, Page 1 of PDQ) Working Title: _____
(IF APPLICABLE)

III. PLANNING SECTION: INCLUDE AT LEAST THREE INDIVIDUAL PERFORMANCE OBJECTIVES (IPO=S)/TRAINING/CAREER DEVELOPMENT RECOMMENDATIONS, WRITTEN AT A SATISFACTORY LEVEL OF PERFORMANCE.
**For rating supervisors only: Supervisors will be rated on their Performance Management Program participation; including the degree to which the supervisor supports the program, is open to communication and employee feedback, mentoring, coaching, training and support of the DOC mission and agency objectives; whether performance plans, reviews and evaluations of subordinate staff are completed on time. (See Competency F).

III. PLANNING SECTION (CONTINUED): INCLUDE AT LEAST THREE INDIVIDUAL PERFORMANCE OBJECTIVES (IPO=S)/TRAINING/CAREER DEVELOPMENT RECOMMENDATIONS, WRITTEN AT A SATISFACTORY LEVEL OF PERFORMANCE. IPO=S SHOULD RELATE TO ONE OR MORE OF THE RATING COMPETENCIES.



COLORADO DEPARTMENT OF CORRECTIONS
PERFORMANCE EVALUATION

I. IDENTIFICATION SECTION		RATING PERIOD: _____ T _____		EMPLOYEE STATUS:							
REASON FOR CLOSE OUT:		Annual	Change of Supv	Promotion	Transfer	Separated	Other _____	PROB		T. S.	CERT
EMPLOYEE=S NAME:						SSN:					
		(PLEASE PRINT OR TYPE)									
CLASS TITLE:						POS. NO:					
AGENCY/FACILITY:						WORK UNIT:					
Level 1 Rating: Needs Improvement - The lowest performance rating denoting unsatisfactory performance. AFailed to meet expectations.@											
Level 2 Rating: Satisfactory - A performance rating defined as Ameets expectations, standards, requirements and objectives.@											
Level 3 Rating: Commendable - A performance rating defined as Aexceeds expectations, standards, requirements and objectives.@											